



2633/8

Attorney Docket No. 1460.1003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Hideyuki MIYATA, et al.

Application No.: 09/495,715

Group Art Unit: 2633

Filed: February 1, 2000

Examiner: Leslie C. Pascal

For: OPTICAL COMMUNICATION APPARATUS AND OPTICAL ADD/DROP APPARATUS

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**RECEIVED**

AUG 27 2004

Sir:

Technology Center 2600

In accordance with the duty of disclosure provisions of 37 CFR § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a.  Form PTO-1449.
- 1b.  Copies of IDS citations.
- 1c.  An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d.  English language translation (complete or relevant portion(s)) attached to each non-English language publication.
- 1e.  Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of a non-English publication.
- 1f.  List of Copending Applications (ATTACHMENT 1(f), hereto).
- 1g.  List of Additional Submitted Documents (ATTACHMENT 1(g), hereto).

2.  This Information Disclosure Statement is filed under 37 CFR §1.97(b):

*(Check either Item 2a or 2b or 2c or 2d)*

- 2a.  Within three months of the filing date of a national application other than a Continued Prosecution Application under § 1.53(d);
- 2b.  Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application.
- 2c.  Before the mailing of a first Office Action on the merits; or
- 2d.  Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114.

3.  This Information Disclosure Statement is filed under 37 CFR § 1.97(c) after the period specified in paragraph 2 above but before the mailing date of any of a Final Office Action under § 1.113, a Notice of Allowance under § 1.311 or an action that otherwise closes prosecution in the application, AND

*(Check either Item 3a or 3b; Item 3b to be checked if any reference known for more than 3 months)*

- 3a.  The §1.97(e) Statement in Item 5 below is applicable; OR  
3b.  The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:  
     enclosed.  
     to be charged to Deposit Account No. 19-3935.

4.  This Information Disclosure Statement is filed under 37 CFR §1.97(d) after the period specified in paragraph 3 above, but on or before payment of the Issue Fee, AND

- 4a.  The § 1.97(e) Statement in Item 5 below is applicable; AND  
4b.  The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:  
     enclosed.  
     to be charged to Deposit Account No. 19-3935.

5.  Statement under § 1.97(e) (*applicable if Item 3a or Item 4a is checked*)

*(Check either Item 5a or 5b)*

- 5a.  In accordance with 37 CFR § 1.97(e)(1), it is stated that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.  
5b.  In accordance with 37 CFR § 1.97(e)(2), it is stated that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known by any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

6.  This is a continuation/divisional/continuation-in-part application under 37 CFR § 1.53(b).

*(Check appropriate Items 6a and/or 6b)*

- 6a.  Copies of the publications listed on the attached Form PTO-1449 which were previously cited in prior application Serial No. \_\_\_, filed on \_\_\_, and which is relied on for an earlier effective filing date for the subject application under 35 U.S.C. § 120, have been omitted pursuant to 37 CFR § 1.98(d).  
6b.  Copies of the publications listed on the attached Form PTO-1449 which were not previously cited in prior application Serial No. \_\_\_, filed on \_\_\_, and which is relied on for an earlier effective filing date for the subject application under 35 U.S.C. § 120, are provided herewith.

7.  This is a continuation/divisional application under 37 CFR § 1.53(d) or a Request for Continued Examination under 37 CFR 1.114.  
*(Check either Item 7a or 7b)*
- 7a.  The Issue Fee has not been paid.
- 7b.  A Petition to Withdraw from issue under 37 CFR § 1.313(c) is filed concurrently herewith or has been granted. A continuation/divisional application under 37 CFR § 1.53(d) or a Request for Continued Examination under 37 CFR 1.114, after payment of the Issue Fee, is proper in accordance with 37 CFR § 1.53(d)(1)(ii) or 37 CFR 1.114(a), respectively.
8.  This is a Supplemental Information Disclosure Statement.  
*(Check either Item 8a or 8b)*
- 8a.  This Supplemental Information Disclosure Statement under 37 CFR § 1.97(f) supplements the Information Disclosure Statement filed on \_\_\_. A bona fide attempt was made to comply with 37 CFR § 1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental IDS can be considered as if properly filed on \_\_\_.
- 8b.  This Supplemental Information Disclosure Statement is timely filed within one (1) month of the Notice under 37 CFR § 1.97 and 1.98, mailed \_\_\_.
9.  In accordance with 37 CFR § 1.98, a concise explanation of what is presently understood to be the relevance of a non-English language publication is:  
*(Check appropriate Items 9a, 9b, 9c and/or 9d)*
- 9a.  satisfied because all non-English language publications were cited on the enclosed "English language version of the search report or action which indicates the degree of relevance found by the foreign office". (See MPEP § 609, Minimum Requirements for an Information Disclosure Statement, Part A(3): Concise Explanation of Relevance, 8th Ed.)
- 9b.  set forth in the application.
- 9c.  satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.
- 9d.  enclosed as Attachment 1(e), hereto.
10. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 CFR §§ 1.97(g) and (h).

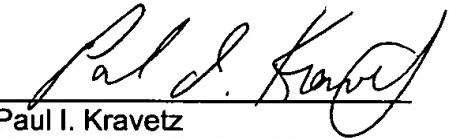
11. The Commissioner is authorized to credit any overpayment or charge any additional fee required under 37 CFR § 1.17 for this Information Disclosure Statement to Deposit Account No. 19-3935.

Respectfully submitted,

STAAS & HALSEY LLP

Dated: August 27, 2004  
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JAPANESE PATENT GAZETTE (A)

(11) Publication Number: Hei 09-236781  
(43) Date of Publication of Application: September 9, 1997

(51) Int. Cl.<sup>6</sup>      G02F 1/01  
                        1/35  
                        H04B 10/152  
                        10/142  
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                        10/06  
                        10/28  
                        10/26  
                        10/14

(21) Application Number: 08-41966  
(22) Date of Filing: February 28, 1996

(71) Applicant: NTT CORPORATION  
(72) Inventors: Kazushige, YONENAGA  
                        Shigeru, KUWANO  
                        Noboru, TAKACHIO

(54) Title of the Invention: OPTICAL TRANSMITTER AND OPTICAL  
TRANSMISSION SYSTEM USING SAME

[0020]

[Preferred Embodiment of the Invention]  
(First Embodiment of the Optical Transmitter)

Fig. 1 shows the optical transmitter according to the first embodiment of the present invention (claims 1 and 2). In the figure a semiconductor integrated laser (LD) 86 as a light source, a duo-binary coding circuit 70 as code conversion means, an inverter circuit 80 as light intensity modulation means, an amplitude adjusting circuit 81, a bias adjusting circuit 82, a Mach-Zehnder type optical intensity modulator 83 (an electrode 84, a terminal circuit 85) are similar to those of the transmission section of the prior art duo-binary optical transmission system shown in Fig. 11.

[0021]

The present embodiment is characterized by the provision of a chirp adding section 10 at the output of the Mach-Zehnder type intensity modulator 83 as optical phase modulation means which changes the phase of a modulation signal light (duo-binary signal light) output from the Mach-Zehnder type optical intensity modulator 83 in accordance with the light intensity of the modulation signal. The chirp adding section 10 is constituted of an optical phase modulator 11, a delay adjustment circuit 12 causing a delay of a predetermined time by inputting a binary data signal, an amplitude adjusting circuit 13 driving the optical phase modulator 11 by adjusting its amplitude. The chirp adding section 10 modulates the phase of the duo-binary signal light in proportion to the binary data signal. For the optical phase modulator 11 used may be a modulator utilizing electro-optic effects of LiNbO<sup>3</sup> or the like, a semiconductor laser amplifier, an electric field absorption type optical modulator.



Sheet 1 of 1

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NO. 1460.1003	APPLICATION NO. 09/495,715
<b>LIST OF REFERENCES CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>		FIRST NAMED INVENTOR Hideyuki MIYATA, et al.		
		FILING DATE February 1, 2000	GROUP ART UNIT 2633	

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	TRANSLATION NO
	AF	9-236781	9/9/97	Japan			First page items (11), (43), (51), (21), (22), (71) (72), (54) paragraphs [0020] and [0021].	
	AG	8-76071	3/22/96	Japan			First page items (11), (43), (21), (51), (22), (71), (72), (54) and paragraphs [0011] and [0012].	

**OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

**TRANSLATION**  
YES      NO

AN			
AO			

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.